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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/255,737
Filing Date	February 23, 1999
First Named Inventor	Jennifer MEAD et al.
Group Art Unit	3624 - Conf. # 9000
Examiner Name	J. Bergin
Attorney Docket Number	003797.77744

Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) _____

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify below):

Response to Election of Species Requirement

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Richard C. Irving, Reg. No. 38,499 - Banner & Witcoff, Ltd.

Signature

Richard C. Irving

Date

June 20, 2002

CERTIFICATE OF MAILING

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☒ PATENT ☐ DESIGN B&W Ref. 3797.77744 Date 6-20-02

☐ HAND CARRY Group/Section

Serial/Patent No. 09/255737

Bldg

Rm

Inventor Jennifer MEAD

Atty/Sec

Client

Title System + Method for providing automated investment alerts from multiple data sources

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

☐ total pp Spec., including : # of Claims

(# of independent claims); ☐ Abstract

☐ Drawings : ☐ Formal ☐ Informal

of distinct sheets : Figs.

☐ Declaration/Power of Attorney : ☐ Executed ☐ Unexecuted

☐ Assignment w/PTO Cover Sheet

☐ IDS w/PTO 1449 ☐ References ☐ w/PTO

☐ Preliminary Amendment

☐ Priority Claim (Foreign or U.S. Provisional B&W #)

Country Appl #

☐ w/Foreign Priority Document(s)

☐ Application : ☐ CIP ☐ Continuation ☐ Divisional

Parent Ser. No. B&W #

☐ U.S. Provisional pp Spec/Claims sheet

☐ Response to Missing Parts/Requirements dtd

☐ Response to Notice to File Corrected Appn. Papers dtd

☐ Request for Expedited Foreign Filing License

☐ Request for Corrected : ☐ Filing Receipt

☒ Response to Restriction/Election Requirement

☐ Assignment

☐ Sequence Listing : ☐ Diskette ☐ Paper

☐ Amendment ☐ Response : OA dtd

☐ Petition for Extension of Time until

☐ CPA ☐ RCE ☐ w/Ext of Time : OA dtd

☐ Request for Approval of Drawing Changes

☐ Notice of Appeal & Fee

☐ Brief : ☐ Appeal & Fee ☐ Reply

☐ Request for Oral Hearing

☐ Issue Fee ☐ Advance Patent Copies (# ordered)

Notice of Allowance dtd

☐ Amendment under 37 CFR 1.312

☐ Request for Certificate of Correction

☒ Transmittal ☐ Fee Transmittal w/Auth. to Charge Deposit Acct.

☐ Certificate of Mailing

☐ Check # for \$